

16076 U.S. PTO  
022604PTO/SB/05 (08-03)  
Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL <small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small>		Attorney Docket No. 04635/000N066-USO	
		First Inventor David Wender	
		Title A METHOD OF EVALUATING AN OPTION SPREAD	
		Express Mail Label No.	

APPLICATION ELEMENTS <small>See MPEP chapter 600 concerning utility patent application contents.</small>	ADDRESS TO: MS Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450			
1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original, and a duplicate for fee processing)</small>	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)			
2. <input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27.	8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small>			
3. <input checked="" type="checkbox"/> Specification <span style="float: right;">[Total Pages 39]</span> <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings (if filed)</li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul>	a. <input type="checkbox"/> Computer Readable Form (CRF)			
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) <span style="float: right;">[Total Sheets 7]</span>	b. Specification Sequence Listing on: <ul style="list-style-type: none"><li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li><li>ii. <input type="checkbox"/> Paper</li></ul>			
5. Oath or Declaration <span style="float: right;">[Total Sheets 4]</span> <ul style="list-style-type: none"><li>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</li><li>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <small>(for continuation/divisional with Box 18 completed)</small></li><li>i. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small></li></ul>	c. <input type="checkbox"/> Statements verifying identity of above copies			
6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76				
<b>18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in the first sentence of the specification following the title, or in an Application Data Sheet under 37 CFR 1.76:</b> <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP) of prior application No.: _____ <small>Prior application information: Examiner _____ Art Unit: _____</small>				
<b>For CONTINUATION OR DIVISIONAL APPS only:</b> The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation <u>can only</u> be relied upon when a portion has been inadvertently omitted from the submitted application parts.				
<b>19. CORRESPONDENCE ADDRESS</b>				
<input checked="" type="checkbox"/> Customer Number: 07278 OR <input type="checkbox"/> Correspondence address below				
Name	DARBY & DARBY P.C. Dianna Goldenson			
Address	P.O. Box 5257			
City	New York	State	NY	
Country	US	Telephone	(212) 527-7700	
		Zip Code	10150-5257	
		Fax	(212) 753-6237	
Name (Print/Type)	Lisa J. Ulrich		Registration No. (Attorney/Agent)	45,168
Signature			Date	February 26, 2004

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Dated: \_\_\_\_\_



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<h1 style="margin: 0;">FEE TRANSMITTAL</h1> <h2 style="margin: 0;">for FY 2004</h2> <p style="margin: 0; font-size: small;">Effective 10/01/2003, Patent fees are subject to annual revision.</p>		Complete if Known																																																																																																																																																																																																																																													
<div style="border: 1px solid black; padding: 5px;"><input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27</div> <div style="border: 1px solid black; padding: 5px;"><b>TOTAL AMOUNT OF PAYMENT</b> (\$) <b>554.00</b></div>		Application Number	Not Yet Assigned																																																																																																																																																																																																																																												
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<div style="display: flex; justify-content: space-between;"><div><input checked="" type="checkbox"/> Check    <input type="checkbox"/> Credit Card    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other    <input type="checkbox"/> None</div><div><input type="checkbox"/> Deposit Account: <div style="border: 1px solid black; padding: 2px; width: 150px; margin: 2px 0;">04-0100</div><div style="border: 1px solid black; padding: 2px; width: 150px; margin: 2px 0;">Darby &amp; Darby P.C.</div></div></div> <p style="font-size: small;">The Director is authorized to: (check all that apply)</p> <div style="display: flex; justify-content: space-between;"><div><input type="checkbox"/> Charge fee(s) indicated below</div><div><input checked="" type="checkbox"/> Credit any overpayments</div></div> <div style="display: flex; justify-content: space-between;"><div><input type="checkbox"/> Charge any additional fee(s) or any underpayment of fee(s)</div><div><input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.</div></div>																																																																																																																																																																																																																																															
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<div style="display: flex; justify-content: space-between;"><div>Total Claims</div><div>34</div><div>-20** =</div><div>14</div><div>x</div><div>Fee from below</div><div>9.00</div><div>=</div><div>126.00</div></div> <div style="display: flex; justify-content: space-between;"><div>Independent Claims</div><div>4</div><div>-3** =</div><div>1</div><div>x</div><div>43.00</div><div>=</div><div>43.00</div></div> <div style="display: flex; justify-content: space-between;"><div>Multiple Dependent</div><div></div><div>=</div><div></div></div> <div style="display: flex; justify-content: space-between;"><div><b>Large Entity</b></div><div><b>Small Entity</b></div></div> <table border="1" style="width: 100%; border-collapse: collapse; font-size: x-small;"><thead><tr><th colspan="2">Large Entity</th><th colspan="2">Small Entity</th><th rowspan="2">Fee Description</th><th rowspan="2">Fee Paid</th></tr><tr><th>Fee Code</th><th>Fee (\$)</th><th>Fee Code</th><th>Fee (\$)</th></tr></thead><tbody><tr><td>1202</td><td>18</td><td>2202</td><td>9</td><td>Claims in excess of 20</td><td></td></tr><tr><td>1201</td><td>86</td><td>2201</td><td>43</td><td>Independent claims in excess of 3</td><td></td></tr><tr><td>1203</td><td>290</td><td>2203</td><td>145</td><td>Multiple dependent claim, if not paid</td><td></td></tr><tr><td>1204</td><td>86</td><td>2204</td><td>43</td><td>** Reissue independent claims over original patent</td><td></td></tr><tr><td>1205</td><td>18</td><td>2205</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr><tr><td colspan="5" style="text-align: right;"><b>SUBTOTAL (2)</b></td><td style="border: 1px solid black; padding: 2px;">(\$) 169.00</td></tr></tbody></table> <p style="font-size: x-small;">**or number previously paid, if greater; For Reissues, see above</p>				Large Entity		Small Entity		Fee Description	Fee Paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1202	18	2202	9	Claims in excess of 20		1201	86	2201	43	Independent claims in excess of 3		1203	290	2203	145	Multiple dependent claim, if not paid		1204	86	2204	43	** Reissue independent claims over original patent		1205	18	2205	9	** Reissue claims in excess of 20 and over original patent		<b>SUBTOTAL (2)</b>					(\$) 169.00																																																																																																																																																																																														
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1203	290	2203	145	Multiple dependent claim, if not paid																																																																																																																																																																																																																																											
1204	86	2204	43	** Reissue independent claims over original patent																																																																																																																																																																																																																																											
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																																																																																											
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Name (Print/Type) Lisa J. Ulrich		Registration No. (Attorney/Agent) 45,168		Telephone (212) 527-7732																																																																																																																																																																																																																																											
Signature				Date February 26, 2004																																																																																																																																																																																																																																											

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Utility Patent Application Transmittal (1 page)  
Application Data Sheet (2 pages)  
Fee Transmittal (1 page)  
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